

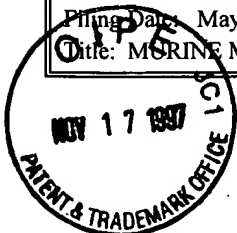
In re Application of: Chatterjee *et al.*

Docket No.: 304142000322

U.S. Serial No.: 08/836,455

Filing Date: May 9, 1997

Title: MURINE MONOCLONAL ANTI-IDIOTYPE ANTIBODY 11D10 AND METHODS OF USE THEREOF



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS 37 C.F.R. § 1.9(f) AND § 1.27(d) - NONPROFIT ORGANIZATION**

I hereby declare that I am

- ☐ the owner of the nonprofit concern identified below:  
☒ an official of the nonprofit concern empowered to act on behalf of the concern identified below:

Name of nonprofit organization: The Board of Trustees of the University of  
Kentucky

Address of nonprofit organization: Lexington, Kentucky 40506

Type of nonprofit organization:

- ☒ University or other institution of higher education  
☐ Tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))  
☐ Nonprofit scientific or educational under a statute of a state of the United States of America

Name of state:

Citation of statute:

- ☐ Would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the  
United States of America  
☐ Would qualify as nonprofit scientific or educational organization under a statute of a state of the United States of  
America if located in the United States of America

Name of state:

Citation of statute:

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention entitled MURINE MONOCLONAL ANTI-IDIOTYPE ANTIBODY 11D10 AND METHODS OF USE THEREOF inventor(s) Malaya Chatterjee, Kenneth A. Foon and Sunil K. Chatterjee described in:

- ☐ the specification filed herewith.  
☒ application serial no. 08/836,455, filed May 9, 1997.  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

I hereby declare that the rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights in the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e). Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

NAME	ADDRESS	TYPE
		<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization
		<input type="checkbox"/> Individual <input type="checkbox"/> Small Business Concern <input type="checkbox"/> Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification or any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

Donald G. Keach

TITLE IN ORGANIZATION OF PERSON SIGNING:

Manager, Intellectual Property

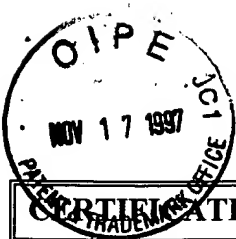
ADDRESS OF PERSON SIGNING:

University of Kentucky

Lexington, Kentucky 40506

SIGNATURE: Donald G. Keach

DATE: 10/31/97



PTO/SB/96 (10-92)

Docket No. 304142000322

## CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

In the application of: Malaya Chatterjee *et al.*  
US Serial No.: 08/836,455  
Filing Date: May 9, 1997  
Title: MURINE MONOCLONAL ANTI-IDIOTYPE 11D10 AND METHODS OF USE THEREOF

The University of Kentucky Board of Trustees, a university, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above, a copy of which is attached.

OR

B. ☐ A chain of title from the inventor(s) of the patent application identified above, to the current assignee as shown below:

1. From :

To:

The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

2. From :

To:

The document was recorded in the Patent and Trademark Office at Reel , Frame , or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Dated: 10/31/97

Donald G. Keach  
Name: Donald G. Keach

Title: Manager, Intellectual Property  
University of Kentucky Research Foundation

PTO/SB/96 (10-92)

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE